

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of : BRESLOW, Stuart Lee et al.
Serial No. : 09/476,448
Filed : December 30, 1999
Title : **ON-LINE TRADING SYSTEM**
Examiner : Andrew J. Rudy
Group Art Unit : 3627

Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

RESUBMISSION OF POWER OF ATTORNEY

Sir:

On May 20, 2005, Applicants filed, by facsimile transmission, a Power of Attorney and Correspondence Address Indication Form and a Statement Under 37 CFR 3.73(b), both executed by Gregg Goldman on May 20, 2005, directing that all future correspondence be directed to the address associated with Customer Number 21890, i.e., to Proskauer Rose LLP, 1585 Broadway, New York, NY 10036.

On both June 1, 2005 and July 6, 2005, Applicants refiled these papers.

On June 4, 2007, the USPTO mailed an Office Action in the Application to the following address:

Gregg Goldman
UBS AG, Stamford Branch
677 Washington BLVD.
Stamford, CT 06901

Applicants are now again resubmitting the Power of Attorney and Correspondence Address Indication Form and the Statement Under 37 CFR 3.73(b), executed by Gregg Goldman on May 20, 2005. The USPTO is respectfully requested to direct all future correspondence to the address associated with Customer Number 21890, i.e., to Proskauer Rose LLP, 1585 Broadway, New York, NY 10036.

Please charge any necessary LARGE ENTITY fees to Deposit Account No. 16-2500.

Respectfully submitted,

PROSKAUER ROSE LLP
Attorneys for Applicants

Date: July 10, 2007

PROSKAUER ROSE LLP
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New York, NY 10036-8299
Telephone: (212) 969-3000

By Abigail Cousins
Abigail Cousins
Reg. No. 29,292

PTO/SB/81 (09-04)

Approved for use through 11/30/2005. OMB 0651-0035
U.S. Patent and Trademark Office; U.S. DEPARTMENT OF COMMERCE

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and
CORRESPONDENCE ADDRESS
INDICATION FORM**

Application Number	09/476,448
Filing Date	December 30, 1999
First Named Inventor	Stuart Lee Breslow
Title	ON-LINE TRADING SYSTEM
Art Unit	3627
Examiner Name	Andrew J. Rudy
Attorney Docket Number	74622-010

I hereby appoint:

Practitioners associated with the Customer
Number:**21890**

OR



Practitioner(s) named below:

Name	Registration Number

as my/our attorney(s) or agent(s) to prosecute the application identified above, and to transact all business in the United States Patent and Trademark Office connected therewith.

Please recognize or change the correspondence address for the above-identified application to:



The address associated with the above-mentioned Customer Number:

OR



The address associated with Customer Number:

21890

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I am the:



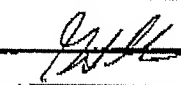
Applicant/Inventor.



Assignee of record of the entire interest. See 37 CFR 3.71.

Statement under 37 CFR 3.73(b) is enclosed. (Form PTO/SB/96)

SIGNATURE of Applicant or Assignee of Record

Signature		Date	5/20/05
Name	Gregg I. Goldman	Telephone	203.719.3099
Title and Company	Director and Senior Counsel, Technology and Intellectual Property, UBS AG, Stamford Branch		

NOTE: Signatures of all the inventors or assignees of record of the entire interest or their representative(s) are required. Submit multiple forms if more than one signature is required, see below*.



*Total of _____ forms are submitted.

This collection of information is required by 37 CFR 1.31 and 1.33. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 3 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PTO/SB/88 (09-04)

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STATEMENT UNDER 37 CFR 3.73(b)Applicant/Patent Owner: Stuart L. Breslow, et al.Application No./Patent No.: 09/476,448 Filed/Issue Date: December 30, 1999Entitled: **ON-LINE TRADING SYSTEM**

UBS Financial Services, Inc., a Corporation
 (Name of Assignee) (Type of Assignee, e.g., corporation, partnership, university, government agency, etc.)

states that it is:

1. ☒ the assignee of the entire right, title, and interest; or
2. ☐ an assignee of less than the entire right, title and interest.
 The extent (by percentage) of its ownership interest is _____ %

in the patent application/patent identified above by virtue of either:

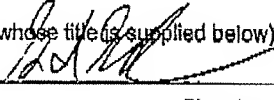
- A. ☐ An assignment from the inventor(s) of the patent application/patent identified above. The assignment was recorded in the United States Patent and Trademark Office at Reel _____, Frame _____, or for which a copy thereof is attached.
- OR
- B. ☒ A chain of title from the inventor(s), of the patent application/patent identified above, to the current assignee as shown below:

1. From: Stuart Lee Breslow et al. To: Painwebber Incorporated
 The document was recorded in the United States Patent and Trademark Office at
 Reel 010486, Frame 0489, or for which a copy thereof is attached.
2. From: Painwebber Incorporated To: UBS Painwebber Inc.
 The document was recorded in the United States Patent and Trademark Office at
 Reel 012257, Frame 0726, or for which a copy thereof is attached.
3. From: UBS Painwebber, Inc. To: UBS Financial Services, Inc.
 The document was recorded in the United States Patent and Trademark Office at
 Reel 014467, Frame 0783, or for which a copy thereof is attached.

☐ Additional documents in the chain of title are listed on a supplemental sheet.☐ Copies of assignments or other documents in the chain of title are attached.

[NOTE: A separate copy (i.e., a true copy of the original assignment document(s)) must be submitted to Assignment Division in accordance with 37 CFR Part 3, if the assignment is to be recorded in the records of the USPTO. See MPEP 302.08]

The undersigned (whose title is supplied below) is authorized to act on behalf of the assignee.


 Signature
Gregg I. Goldman
 Printed or Typed Name
Director and Senior Counsel, Technology and
Intellectual Property, UBS AG, Stamford Branch
 Title

5/20/05
 Date
203 719 3099
 Telephone Number

This collection of information is required by 37 CFR 3.73(b). The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to take 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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